



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 10

**Complete if Known**

|                        |                  |
|------------------------|------------------|
| Application Number     | 10/701,992       |
| Filing Date            | November 4, 2003 |
| First Named Inventor   | Hetherton et al. |
| Art Unit               | 3729             |
| Examiner Name          | Thiem D. Phan    |
| Attorney Docket Number | MP1705-US4       |

**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number<br>Number-Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|-----------------------|---|--------------------------------|---|---|
|                    |                       | US-2,482,316  | 09-20-1949                     | Bocking   |   |
|                    |                       | US-3,221,145  | 11-30-1965                     | Hager, Jr.                                      |   |
|                    |                       | US-3,351,882  | 11-07-1967                     | Kohler et al.                                   |   |
|                    |                       | US-3,435,399  | 03-25-1969                     | Gielisse et al.                                 |   |
|                    |                       | US-3,497,859  | 02-24-1970                     | Bang  |   |
|                    |                       | US-3,648,364  | 03-14-1972                     | Endo  |   |
|                    |                       | US-3,775,725  | 11-27-1973                     | Endo  |   |
|                    |                       | US-3,835,434  | 09-10-1974                     | Kahn  |   |
|                    |                       | US-4,088,828  | 05-09-1978                     | Yamamoto et al.                                 |   |
|                    |                       | US-4,200,970  | 05-06-1980                     | Schonberger                                     |   |
|                    |                       | US-4,237,441  | 12-02-1980                     | van Konynenburg et al                           |   |
|                    |                       | US-4,238,812  | 12-09-1980                     | Middleman et al                                 |   |
|                    |                       | US-4,255,698  | 03-10-1981                     | Simon   |   |
|                    |                       | US-4,272,471  | 06-09-1981                     | Walker  |   |
|                    |                       | US-4,304,987  | 12-08-1981                     | van Konynenburg                                 |   |
|                    |                       | US-4,315,237  | 02-09-1982                     | Middleman et al                                 |   |
|                    |                       | US-4,317,027  | 02-23-1982                     | Middleman et al                                 |   |

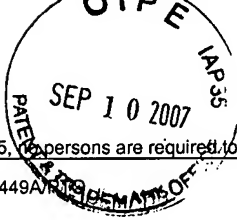
**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> Number <sup>4</sup> Kind<br>Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup>                       |
|--------------------|-----------------------|---|--------------------------------|---|---|--------------------------------------|
|                    |                       | DE-2816593-A1   | 10-18-1979                     | Siemens AG (Grube et al.)                       |   | <input type="checkbox"/> Abstract    |
|                    |                       | DE-3122612-A1   | 12-23-1982                     | Draloric Electronic GmbH (Schurmann)            |   | <input type="checkbox"/> Abstract    |
|                    |                       | DE-3839868-A1   | 06-08-1989                     | Murata Mfg. Co., Ltd. (Uchida; US 4,924,204)    |   | <input type="checkbox"/> counterpart |
|                    |                       | DE-3910861-A1   | 11-02-1989                     | Murata Mfg. Co., Ltd. (Uchida; US 4,997,309)    |   | <input type="checkbox"/> counterpart |

Examiner  
SignatureDate  
Considered

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PTO/SB/08a (07-06) (modified)



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| Attorney Docket Number | MP1705-US4       |

Sheet 2 of 10

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|                    |                       | US-4,327,351  | 04-27-1982                     | Walker  |   |
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|                    |                       | US-4,352,083  | 09-28-1982                     | Middleman et al                                 |   |
|                    |                       | US-4,371,860  | 02-01-1983                     | May et al.                                      |   |
|                    |                       | US-4,388,607  | 06-14-1983                     | Toy et al                                       |   |
|                    |                       | US-4,426,633  | 01-17-1984                     | Taylor  |   |
|                    |                       | US-4,434,416  | 02-28-1984                     | Schonberger                                     |   |
|                    |                       | US-4,445,026  | 04-24-1984                     | Walker  |   |
|                    |                       | US-4,463,407  | 07-31-1984                     | Berger et al.                                   |   |
|                    |                       | US-4,475,138  | 10-02-1984                     | Middleman et al                                 |   |
|                    |                       | US-4,486,737  | 12-04-1984                     | Ott   |   |
|                    |                       | US-4,486,738  | 12-04-1984                     | Sadlo et al.                                    |   |
|                    |                       | US-4,514,620  | 04-30-1985                     | Cheng et al                                     |   |
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|                    |                       | US-4,534,889  | 08-13-1985                     | van Konynenburg et al                           |   |
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|--------------------|-----------------------|---|--------------------------------|---|---|---|
|                    |                       | DE-4000089-A1   | 07-12-1990                     | Mitsubishi Denki KK<br>(Otsubo; US 5,017,243)   |   | <input type="checkbox"/> counterpart        |
|                    |                       | DE-8716103-U1   | 03-03-1988                     | Degussa AG                                      |   | <input checked="" type="checkbox"/> partial |
|                    |                       | EP- 0509582-A2  | 10-21-1992                     | N.V. Philips<br>Gloeilampenfabrieken (Schat)    |   | <input type="checkbox"/> N/A                |
|                    |                       | EP-0223404-A1   | 05-27-1987                     | Raychem Corporation<br>(Kleiner et al.)         |   | <input type="checkbox"/> N/A                |

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|   |   |    |    | First Named Inventor     | Hetherton et al. |
|   |   |    |    | Art Unit                 | 3729             |
|   |   |    |    | Examiner Name            | Thiem D. Phan    |
| Sheet   | 3 | of | 10 | Attorney Docket Number   | MP1705-US4       |

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|                       |                       | US-4,591,700  | 05-27-1986                     | Sopory  |   |
|                       |                       | US-4,593,181  | 06-03-1986                     | Jensen et al.                                   |   |
|                       |                       | US-4,605,471  | 08-12-1986                     | Mitchell  |   |
|                       |                       | US-4,660,017  | 04-21-1987                     | Momoki et al.                                   |   |
|                       |                       | US-4,689,475  | 08-25-1987                     | Matthiesen                                      |   |
|                       |                       | US-4,706,060  | 11-10-1987                     | May   |   |
|                       |                       | US-4,714,910  | 12-22-1987                     | Schwingenschuh et al.                           |   |
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|                       |                       | US-4,777,718  | 10-18-1988                     | Henderson et al.                                |   |
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|                       |                       | US-4,788,523  | 11-29-1988                     | Robbins   |   |
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|                       |                       | US-4,801,784  | 01-31-1989                     | Jensen et al.                                   |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |  |   |                                   |
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|                          |                       | EP-0308306-A1   | 03-22-1989                     | Compagnie Europeenne de<br>Composants Electroniques LCC<br>(Mallez et al.) |   | <input type="checkbox"/> Abstract |
|                          |                       | EP-0398811-A2   | 11-22-1990                     | Fujikura Ltd. (Yamada et al.)  |   | <input type="checkbox"/> N/A      |
|                          |                       | EP-0649562-B1   | 03-04-1998                     | Raychem Corporation (Graves<br>et al.)                                     |   | <input type="checkbox"/> N/A      |

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|                       |                       | US-4,811,164  | 03-07-1989                     | Ling et al.                                     |   |
|                       |                       | US-4,845,838  | 07-11-1989                     | Jacobs et al.                                   |   |
|                       |                       | US-4,861,966  | 08-29-1989                     | Matthiesen et al.                               |   |
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|                       |                       | US-4,876,439  | 10-24-1989                     | Nagahori  |   |
|                       |                       | US-4,882,466  | 11-21-1989                     | Friel   |   |
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|                       |                       | US-4,907,340  | 03-13-1990                     | Fang et al.                                     |   |
|                       |                       | US-4,924,074  | 05-08-1990                     | Fang et al.                                     |   |
|                       |                       | US-4,924,204  | 05-08-1990                     | Uchida  |   |
|                       |                       | US-4,924,205  | 05-08-1990                     | Caporali et al.                                 |   |
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|                       |                       | US-4,977,309  | 12-11-1990                     | Uchida  |   |
|                       |                       | US-4,992,771  | 02-12-1991                     | Caporali et al.                                 |   |
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|                          |                       | EP-0790625-A2   | 08-20-1997                     | Daito Communication<br>Apparatus Co. Ltd. (Sugaya) |   | <input type="checkbox"/><br>N/A      |
|                          |                       | EP-0955643-A1*  | 11-10-1999                     | Matsushita Electric Industrial<br>Co. Ltd.         |   | <input type="checkbox"/><br>N/A      |
|                          |                       | GB-1415454-A  | 11-26-1975                     | Welwyn Electric Ltd.                               |   | <input type="checkbox"/><br>N/A      |
|                          |                       | JP-4-15001-A  | 05-22-1992                     | Murata Mfg. Co. Ltd.<br>(Sunahara)                 |   | <input type="checkbox"/><br>Abstract |

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|                       |                       | US-5,015,824  | 05-14-1991                     | Monter et al.                                   |   |
|                       |                       | US-5,017,243  | 05-21-1991                     | Otsubo  |   |
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|                       |                       | US-5,057,811  | 10-15-1991                     | Strott et al.                                   |   |
|                       |                       | US-5,085,364  | 02-04-1992                     | Ishikawa et al.                                 |   |
|                       |                       | US-5,089,801  | 02-18-1992                     | Chan et al.                                     |   |
|                       |                       | US-5,142,263  | 08-25-1992                     | Childers et al.                                 |   |
|                       |                       | US-5,166,658  | 11-24-1992                     | Fang et al.                                     |   |
|                       |                       | US-5,194,316  | 03-16-1993                     | Horner et al                                    |   |
|                       |                       | US-5,196,136  | 03-23-1993                     | Dishart et al                                   |   |
|                       |                       | US-5,210,516  | 05-11-1993                     | Shikama et al                                   |   |
|                       |                       | US-5,212,466  | 05-18-1993                     | Yamada et al.                                   |   |
|                       |                       | US-5,216,404  | 06-01-1993                     | Nagai et al.                                    |   |
|                       |                       | US-5,228,188  | 07-20-1993                     | Badihi et al                                    |   |
|                       |                       | US-5,241,741  | 09-07-1993                     | Sugaya  |   |
|                       |                       | US-5,247,277  | 09-21-1993                     | Fang et al.                                     |   |
|                       |                       | US-5,258,738  | 11-02-1993                     | Schat   |   |

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|                          |                       | JP-49-28594-A   | 08-03-1974                     | Matsushita Electric Industries Co. Ltd.<br>(Ishiyama et al.) |   | <input checked="" type="checkbox"/> Translation |
|                          |                       | JP-54-73260-A   | 06-12-1979                     | Tokyo Denki Kagaku Kogyo KK (Towatari et al.)                |   | <input checked="" type="checkbox"/> Translation |
|                          |                       | JP-56-150802-A  | 11-21-1981                     | TDK (Mano et al.)  |   | <input checked="" type="checkbox"/> Translation |
|                          |                       | JP-61-124104-A  | 06-11-1986                     | Matsushita Electric Industries Co. Ltd (Aikawa)              |   | <input checked="" type="checkbox"/> Translation |

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| Examiner Signature |  | Date Considered |  |
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|   |   |    |    | Application Number       | 10/701,992       |
|   |   |    |    | Filing Date              | November 4, 2003 |
|   |   |    |    | First Named Inventor     | Hetherton et al. |
|   |   |    |    | Art Unit                 | 3729             |
|   |   |    |    | Examiner Name            | Thiem D. Phan    |
| Sheet   | 6 | of | 10 | Attorney Docket Number   | MP1705-US4       |

| U.S. PATENT DOCUMENTS |                       |   |                                |   |   |
|-----------------------|-----------------------|---|--------------------------------|---|---|
| Examiner Initials*    | Cite No. <sup>1</sup> | Document Number<br>Number-Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|                       |                       | US-5,271,548  | 12-21-1993                     | Maiwald   |   |
|                       |                       | US-5,280,263  | 01-18-1994                     | Sugaya  |   |
|                       |                       | US-5,291,535  | 03-01-1994                     | Baker et al.                                    |   |
|                       |                       | US-5,303,115  | 04-12-1994                     | Nayar et al.                                    |   |
|                       |                       | US-5,347,258  | 09-13-1994                     | Howard et al.                                   |   |
|                       |                       | US-5,351,390  | 10-04-1994                     | Yamada et al.                                   |   |
|                       |                       | US-5,378,407  | 01-03-1995                     | Chandler et al.                                 |   |
|                       |                       | US-5,382,938  | 01-17-1995                     | Hansson et al.                                  |   |
|                       |                       | US-5,451,919  | 09-19-1995                     | Chu et al.                                      |   |
|                       |                       | US-5,451,921  | 09-19-1995                     | Crawford et al.                                 |   |
|                       |                       | US-5,488,348  | 01-30-1996                     | Asida et al.                                    |   |
|                       |                       | US-5,493,266  | 02-20-1996                     | Sasaki et al.                                   |   |
|                       |                       | US-5,582,770  | 12-10-1996                     | Chu et al.                                      |   |
|                       |                       | US-5,747,147  | 05-05-1998                     | Wartenberg et al.                               |   |
|                       |                       | US-5,763,929  | 06-09-1998                     | Iwata   |   |
|                       |                       | US-5,777,541  | 07-07-1998                     | Vekeman   |   |
|                       |                       | US-5,801,612  | 09-01-1998                     | Chandler et al.                                 |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |   |   |   |
|--------------------------|-----------------------|---|--------------------------------|---|---|---|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> Number <sup>4</sup> Kind<br>Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | <sup>6</sup>                                    |
|                          |                       | JP-63-216301-A  | 09-08-1988                     | Nippon Mektron<br>(Akatsuka et al.)             |   | <input checked="" type="checkbox"/> Translation |
|                          |                       | JP-63-244702-A  | 10-12-1988                     | Nippon Mektron (Tanaka)                         |   | <input checked="" type="checkbox"/> Translation |
|                          |                       | JP-5-29111-A  | 02-05-1993                     | Matsushita Electric Ind.<br>Co. Ltd. (Ebine)    |   | <input type="checkbox"/> Abstract               |
|                          |                       | JP-6-283301-A   | 10-07-1994                     | Mitsubishi Materials Corp.<br>(Yoshinori)       |   | <input type="checkbox"/> Abstract               |

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|  |       | Application Number       | 10/701,992       |
|  |       | Filing Date              | November 4, 2003 |
|  |       | First Named Inventor     | Hetherton et al. |
|  |       | Art Unit                 | 3729             |
|  |       | Examiner Name            | Thiem D. Phan    |
| Sheet 7  | of 10 | Attorney Docket Number   | MP1705-US4       |

| U.S. PATENT DOCUMENTS |                       |   |                                |   |   |
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|                       |                       | US-5,818,676  | 10-06-1998                     | Gronowicz, Jr.                                  |   |
|                       |                       | US-5,831,510  | 11-03-1998                     | Zhang et al.                                    |   |
|                       |                       | US-5,852,397  | 12-22-1998                     | Chan et al.                                     |   |
|                       |                       | US-5,864,281  | 01-26-1999                     | Zhang et al.                                    |   |
|                       |                       | US-5,907,271  | 05-25-1999                     | Hirano  |   |
|                       |                       | US-5,907,272  | 05-25-1999                     | Mcguire   |   |
|                       |                       | US-5,907,273  | 05-25-1999                     | Ross, Jr. et al.                                |   |
|                       |                       | US-6,020,808  | 02-01-2000                     | Hogge   |   |
|                       |                       | US-6,104,587  | 08-15-2000                     | Banich et al.                                   |   |
|                       |                       | US-6,130,597  | 10-10-2000                     | Toth et al.                                     |   |
|                       |                       | US-6,172,591-B1   | 01-09-2001                     | Barrett   |   |
|                       |                       | US-6,188,308  | 02-13-2001                     | Kojima et al.                                   |   |
|                       |                       | US-6,297,722-B1   | 10-02-2001                     | Yeh   |   |
|                       |                       | US-6,331,763-B1   | 12-18-2001                     | Thomas et al.                                   |   |
|                       |                       | US-6,429,533-B1   | 08-06-2002                     | Li et al.                                       |   |
|                       |                       | US-6,570,483-B1   | 05-27-2003                     | Chandler et al.                                 |   |
|                       |                       | US-6,606,023  | 08-12-2003                     | Chiang et al.                                   |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                                |   |   |                                 |
|--------------------------|-----------------------|---|--------------------------------|---|---|---------------------------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> Number <sup>4</sup> Kind<br>Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup>                  |
|                          |                       | WO 94/01876   | 01-20-1994                     | Raychem Corporation<br>(Graves et al.)          | N/A   | <input type="checkbox"/><br>N/A |
|                          |                       | WO 95/08176   | 03-23-1995                     | Raychem Corporation (Fang<br>et al.)            | N/A   | <input type="checkbox"/><br>N/A |
|                          |                       | WO 99/45551 **  | 09-10-1999                     | Bourns Multifuse Hong<br>Kong Ltd. (Barrett)    | N/A   | <input type="checkbox"/><br>N/A |
|                          |                       | WO84/01259  | 03-29-1984                     | Ericsson (Olofsson et al).                      | N/A   | <input type="checkbox"/><br>N/A |

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|   |   |    |    | Application Number       | 10/701,992       |
|   |   |    |    | Filing Date              | November 4, 2003 |
|   |   |    |    | First Named Inventor     | Hetherton et al. |
|   |   |    |    | Art Unit                 | 3729             |
|   |   |    |    | Examiner Name            | Thiem D. Phan    |
| <i>(Use as many sheets as necessary)</i>  |   |    |    | Attorney Docket Number   | MP1705-US4       |
| Sheet   | 8 | of | 10 |                          |                  |

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| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> Number* Kind<br>Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited<br>Document         | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear | T <sup>6</sup>                  |
|                          |                          | WO95/31816  | 11-23-1995                     | Raychem Corporation<br>(Zhang et al.)                      |   | <input type="checkbox"/><br>N/A |
|                          |                          | WO95/34084  | 12-14-1995                     | Raychem Corporation<br>(Zhang et al.)                      |   | <input type="checkbox"/><br>N/A |
|                          |                          | WO98/12715  | 03-26-1998                     | Matsushita Electric Industries<br>Co. Ltd. (Kojima et al.) |   | <input type="checkbox"/><br>N/A |
|                          |                          | WO98/29879*   | 07-09-1998                     | Matsushita Electric Industries<br>Co. Ltd.                 |   | <input type="checkbox"/><br>N/A |

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|   |               | Application Number       | 10/701,992       |
|   |               | Filing Date              | November 4, 2003 |
|   |               | First Named Inventor     | Hetherton et al. |
|   |               | Art Unit                 | 3729             |
| Examiner Name   | Thiem D. Phan |                          |                  |
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|                                 |                       | "PolySwitch PTC Devices", Standard Product List, Raychem Corporation, May 1992.   | <input type="checkbox"/> |
|                                 |                       | "PolySwitch SMD Installation Guidelines" trade brochure, Raychem Corporation, Nov. 1992.  | <input type="checkbox"/> |
|                                 |                       | "PolySwitch SMD Surface Mount Devices PTC Overcurrent Protection" trade brochure, Raychem Corporation, Nov. 1992.   | <input type="checkbox"/> |
|                                 |                       | "Protection of Batteries with PolySwitch Devices", Raychem Corporation, Jan. 1987.  | <input type="checkbox"/> |
|                                 |                       | Coombs, <u>Printed Circuit Handbook</u> , 1996, p. 24.1 - 24.17, 40.1 - 40.4  | <input type="checkbox"/> |
|                                 |                       | Harper, <u>Electronic Packaging and Interconnection Handbook</u> (1991), p. 1.37 -1.43, 8.3 - 8.5, 8.53 - 8.56, 9.1 - 9.16, 9.41 - 9.49.  | <input type="checkbox"/> |
|                                 |                       | Patent Abstracts of Japan, vol. 013, no. 198 (E-756), 11 May 1989 & JP 01-020601A (JCG Corp.), 24 January 1989, abstract.   | <input type="checkbox"/> |
|                                 |                       | Search Report for International Application No. PCT-US00-25118, June 13, 2001.  | <input type="checkbox"/> |
|                                 |                       | Search Report for International Application No. PCT-US02-39392, May 13, 2003.   | <input type="checkbox"/> |
|                                 |                       | Search Report for International Application No. PCT-US93-06480, October 7, 1993.  | <input type="checkbox"/> |

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|                                 |                       | Search Report for International Application No. PCT-US94-10137, November 23, 1994.  | <input type="checkbox"/> |
|                                 |                       | Search Report for International Application No. PCT-US95-05567, June 26, 1995.  | <input type="checkbox"/> |
|                                 |                       | Search Report for International Application No. PCT-US95-07420, September 4, 1995.  | <input type="checkbox"/> |
|                                 |                       | Standler, <u>Protection of Electronic Circuits from Overvoltages</u> , 1989, p. 133   | <input type="checkbox"/> |
|                                 |                       | Sunahara, JP 40415001A (5-1992), abstract.  | <input type="checkbox"/> |
|                                 |                       | U.S. Patent Application No. 07-893626 (Chandler et al.), filed June 5, 1992.  | <input type="checkbox"/> |
|                                 |                       | U.S. Patent Application No. 08-816,471 (Chandler et al., filed March 13, 1997), now U.S. Patent No. 6,570,483.  | <input type="checkbox"/> |
|                                 |                       | U.S. Patent Application No. 09-060,278 (Chiang et al., filed April 14, 1998), now U.S. Patent No. 6,606,023.  | <input type="checkbox"/> |
|                                 |                       | U.S. Patent Application No. 09-181,028 (Graves et al, filed October 27, 1998), now U.S. Patent No. 6,651,315.   | <input type="checkbox"/> |
|                                 |                       | U.S. Patent Application No. 09-364,504 (Isozaki et al., filed July 30, 1999), now U.S. Patent No. 6,358,438.  | <input type="checkbox"/> |

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